

2017 WCIS Advisory Meeting



First Reports of Injury (FROI) and Subsequent Reports of Injury (SROI)
Oakland, California
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Today's Outline

- System Overview
- Highlights of California FROI/SROI Guide Version 3.1
- Developments since the April 2017 Stakeholder Meeting

California FROI-SROI Basics

First Reports of Injury and Subsequent Reports of Injury (FROI/SROI) are required to be sent electronically for every workers' compensation claim in California.

The Rules for reporting are governed by Regulations and Guides

Regulations:

- California Labor Code Sections 9701 and 9702

Guides:

- International Association of Industrial Accident Boards and Commissions (IAIABC) Release 1 guide
- California Specific FROI/SROI Implementation Guide, Version 3.0 **will become Version 3.1 March 27, 2018.**

FROI/SROI System is event based with Timeframes to Report based on specific events on the claim.

- The general reporting timeframes are:
 - FROIs are due within 10 business days of claim administrator knowledge or reportable claim event.
 - SROIs are due within 15 business days of the reportable claim event.
 - The Annual (ANs) report is due every year by January 31st, for all open and new claims (including medical-only) with a payment in previous year.

FROI-SROI System Stats.

13 Million FROIs have been filed since 2000.

Completeness (2016)*

FROI: 91-92%

SROI: 64% (up from 45% a few years ago)

Denials: 88%

Data Quality (2016)

FROI: 81% Transactions Accepted (TA) without error

SROI: 97% Transactions Accepted (TA) without error

Timeliness of FROI (2014-2016) : 80% to 86% on time

***Estimated against DWC-Audit Report of Inventory (ARI)**

New California Specific
FROI/SROI Guide (Release 1,
version 3.1) **March 27, 2018**

California is moving to the Guide Version 3.1

First Requirement update since 2012.

New Regulations and Version 3.1 were adopted on March 27, 2017

- Implementation or 'go live' date is **March 27, 2018.**
- Available at <http://www.dir.ca.gov/dwc/WCIS.htm>

Major Guide Changes can be found in..

Appendix A: Section Differences Between Version 3.0 and Version 3.1 of WCIS FROI/SROI.

New Ways to get data in...

- New Account set up and Management.
 - New accounts and passwords must be established for every Trading Partner (TP) prior to the go live date.
 - New TP Profile from all TPs (**Section F, pages 18-20**).
- SFTP Required for FROI/SROI (**Section I, pages 43 & 44**).
- New File Name Convention (**Section I, page 45**).

New Ways to process transactions once WCIS receives them

To better control the assignment and management of the JCN there are now Matching Algorithms for each Maintenance Type Code (MTC) type ([Section M, pages 83-88](#)).

New Criteria based on injury and claimant data

- Are developed based on each type of transaction for FROI
- A unique algorithm for SROI
- Uses different algorithms for determining reject reasons for not assigning a JCN.
- Allows WCIS to report back to trading partners why it believes a transaction is a duplicate.

TEs now have a 60 Day Deadline for correction.

For FROI Corrections (MTC=CO) are now due for errors or missing data within 60 calendar days of the TE acknowledgment ([Section J, pages 47 and 48](#)).

Highlights of FROI Element Changes...

- Increased Requirements on Claim Administrator Name, Claim Administrator FEIN, Insurer FEIN, and Employer FEIN, JCN, Claim Administrator Claim Number (**Section K**).
- No longer accepting the SIC Codes for Industry Code (DN 25), for now on only NAICS Codes will be valid (**Section N, page 93**).
- Time of Injury (DN 32) is required on all non-CT, non-Acquired transactions. 24 hour format (HHMM) (**Section K**).

Notable SROI Element increased requirements (All Section K)

- Date of Injury (DN 31) is required on all SROIs.
- Claim Type (DN 74) is now mandatory on almost all SROIs.
- Claim Status (DN 73) must be reported as Closed, “C”, or Reopen/Reclosed, “X”, on all Final (MTC=FN) reports.
- SROI Date of Death (DN 57) must now be reported if there is any payment amount for a funeral expense or a fatal benefit of any kind.

Notable SROI Elements being relaxed (**All Section K**)

- The requirement that the SROI Change (MTC=02) and Correction (MTC=CO) must have at least one previous benefit reported, has been removed for transactions that include a Claim Status (DN 73) or a Date of Representation (DN 76).
- Internal SROI validations around some elements removed*
 - Date of Return to Work/Release to Work (DN 72)
 - Date Disability Began (DN 56)
 - Date of Maximum Medical Improvement (DN 70)
 - Date of Release to Return to Work (DN 68)

*See guide for specifics.

Reminder besides Technical Requirements what is required.

- Trading Partners must resubmit their Trading Partner Profiles. This is in order to get your new User IDs and Passwords. Trading Partners will not be able to submit data under the new guide without one.
- Trading Partners must resubmit a new Claim ID list. Needed to help improve reports back to senders and claim administrators.

What to look out for the next couple of months....

- Training Materials for the new guide.
- Release of new guide supporting documents.
 - Trading Partner Profile (That must be re-submitted)
 - Claim ID List (That must be re-submitted)
 - Element Tables
 - FAQ updates
 - Training Bulletins, if necessary.

WCIS FROI SROI: Stakeholder Meeting Review

WCIS FROI SROI: Stakeholder Meeting

- Held April 10, 2017
- Discussed
 - Issues with SROI reporting completeness
 - System complexity
 - System burden on trading partners, the state and claim administrators
 - How to move forward to more efficient and effective system

WCIS FROI SROI: Stakeholder Meeting Outcome

- Relaxation of one sequencing rules
- Establishment of the SROI Amnesty Program
- Development of plan for Version 4.0 of the guide to attack SROI reporting's inefficiencies.



Relaxation and Clarification of Sequencing Rules

Relaxed the sequencing rule that requires a suspension transaction be accepted prior to a reinstatement of benefit transaction.

Final 5 Sequencing Rules

1. Only FROI Original (00), Denial (04) and Acquired Unallocated (AU) Maintenance Type Codes (MTC) can establish a claim in WCIS
2. A SROI must be preceded by an accepted FROI.
3. Only one SROI Initial Payment (IP) is allowed per claim.
4. The SROI Acquired Payment (AP) must be preceded by an accepted FROI Acquired Unallocated (AU).
5. The SROI Change Amount (CA), Change Benefit (CB), Partial Suspension (PJ, P1-P9), Suspension (SJ, S1-S9), Reinstatement of Benefit (RB), Reduced Earnings (RE), Change (02), or Correction (CO) must be preceded by a previously accepted SROI.

SROI Amnesty Program

Established on April 18, allowed programs who signed up and submitted proposals to forgo their SROI reporting backlog.

- 29 Claim Administrators signed-up
- 12 Claim Administrators sent in plans and are in the process of starting to report without the need for reporting their backlog.

Due to the feedback and positive cooperation by the community we are extending the amnesty period and will be sending out another e-News for how to sign-up and participate.

Moving to FROI and SROI Guide 4.0

- Draft Proposal for 4.0 is being finalized that will move California SROI from event -based reporting to periodic -based reporting
- There by dropping out or removing the severity of errors caused by he remaining sequencing requirements.
- Draft proposal for 4.0 will be posted on the forum early 2018 with rulemaking following the implementation of 3.1.

Remember Important Dates in the Version 3.1

3/27/2018 is the implementation date and the system switch 'go live' date.

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Trading partner letters B, D-F, H, M-R, W-Y

Information resources are available

The WCIS Website

www.dir.ca.gov/dwc/wcis.htm

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Questions?